



PATENT  
Attorney Docket No. CTX-019CP  
(1545/36)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT: Bloomfield et al.  
SERIAL NO.: 09/390,928 GROUP NO.: 2755  
FILING DATE: September 7, 1999 EXAMINER: Not yet assigned  
TITLE: Apparatus and Method for Determining a Program Neighborhood for a Client  
Node in a Client-Server Network Using Markup Language Techniques

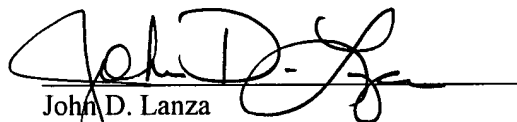
RESPONSE TO NOTIFICATION OF MISSING REQUIREMENTS

Box Missing Parts  
Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

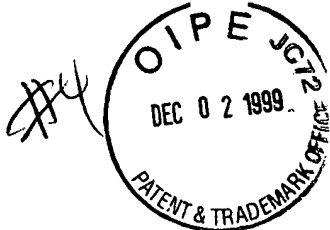
In response to the Notification of Missing Requirements mailed October 14, 1999, enclosed is a copy of an executed Declaration/Power of Attorney, along with a check in the amount of \$915.00, of which \$890.00 is for the basic filing fee.

Respectfully submitted,

  
John D. Lanza  
Attorney for Applicants  
Testa, Hurwitz, & Thibault, LLP  
High Street Tower  
125 High Street  
Boston, Massachusetts 02110

Date: November 30, 1999  
Reg. No. 40,060

Tel. No. (617) 248-7604  
Fax: (617) 248-7100



**PATENT**

Attorney Docket No. CTX-019CP (1545/36)

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SERIAL NO.: 09/390,928 GROUP NO.: 2755  
FILED: September 7, 1999 EXAMINER:  
TITLE: Apparatus and Method for Determining a Program  
Neighborhood for a Client Node in a Client-Server Network  
Using Markup Language Techniques

Box Missing Parts  
Assistant Commissioner for Patents  
Washington, D.C. 20231  
Attn: Application Processing Division's  
Customer Correction Branch

**REQUEST FOR CORRECTED FILING RECEIPT**

1. Attached is a copy of the official filing receipt received from the PTO in the above application for which issuance of a corrected filing receipt is respectfully requested.
2. There is an error with respect to the following data, which is:

☒ incorrectly entered

*and/or*

☐ omitted

**Error In**

1. ☒ Applicant's name and address

**Correct Data**

1. Marc A. Bloomfield, Pompano Beach, FL
2. Martin Duursma, West Pennant Hills, Australia
3. Anatoliy Panasyuk, West Ryde, Australia
4. Bradley Jay Pedersen, Parkland, FL
5. Tom C. Davis, III, Coral Springs, FL

12/03/1999 MBERHE 00000077 09390928

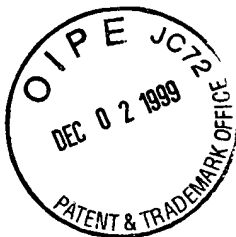
03 FC:576

25.00 0P

3. *(complete the following applicable item A or B)*

A. ☐ The correction(s) is/are not due to any error by applicant(s) and no fee is due.

B. ☒ At least one of the above corrections is due to applicant's error and the fee therefor under 37 CFR 1.19(h) of \$25.00 is paid as follows:



☒ enclosed is a check for \$915.00, of which \$25.00 is for the required fee.

☐ charge Account No. 20-0531 \$25.00.

Respectfully submitted,

A handwritten signature in black ink, appearing to read "John D. Lanza", written over a horizontal line.

John D. Lanza  
Attorney for Applicants  
Testa, Hurwitz, & Thibeault, LLP  
High Street Tower  
125 High Street  
Boston, Massachusetts 02110

Date: November 30, 1999  
Reg. No. 40,060

Tel. No.: (617) 248-7604  
Fax No.: (617) 248-7100

MIRANDDG1545/36.885059-1



SECTOR *[Signature]*

PATENT  
Attorney Docket No. CTX-019CP  
(1545/36)

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

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SERIAL NO.: 09/390,928 GROUP NO.: 2755  
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TITLE: Apparatus and Method for Determining a Program Neighborhood for a Client Node in a Client-Server Network Using Markup Language Techniques

**CERTIFICATE OF FIRST CLASS MAILING UNDER 37 C.F.R. 1.8**

I hereby certify that this correspondence, and any documents referred to as enclosed herein, are being deposited with the United States Postal Service as first class mail, postage prepaid, in an envelope addressed to Box Missing Parts, Assistant Commissioner for Patents, Washington, DC 20231 on November 30, 1999.

30 NOV. 1999  
Date of Signature

Debbie Washburn  
Debbie Washburn

Box Missing Parts  
Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

Submitted herewith are the following:

1. Transmittal Form (1 pg.)
2. Fee Transmittal Form ( 1 pg.)
3. Check in the amount of \$915.00
4. Response to Notification of Missing Requirements (1 pg.)
5. Declaration and Power of Attorney for Utility Application (5 pgs.)
6. Copy of Notification of Missing Requirements (1 pg.)
7. Request for Corrected Filing Receipt (2 pgs.)
8. Copy of Corrected Filing Receipt (1 pg.)
9. Certificate of First Class Mailing (1 pg.)
10. Return receipt postcard.

# TRANSMITTAL FORM

Application Serial Number	09/390,928
Filing Date	September 7, 1999
First Named Inventor	Bloomfield et al.
Group Art Unit	2755
Examiner Name	Not yet assigned
Attorney Docket No.	CTX-019CP

**ENCLOSURES** (*check all that apply*)

<input checked="" type="checkbox"/> Fee Transmittal Form <div> <input checked="" type="checkbox"/> Check Attached  <input type="checkbox"/> Copy of Fee Transmittal Form         </div> <input type="checkbox"/> Supplemental Preliminary Amendment	<input checked="" type="checkbox"/> Copy of Notification of Missing Requirements  <input type="checkbox"/> Formal Drawing(s)  <input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition to Convert to a Provisional Application  <input type="checkbox"/> Power of Attorney (Revocation of Prior Powers)  <input type="checkbox"/> Terminal Disclaimer  <input checked="" type="checkbox"/> Executed Declaration and Power of Attorney for Utility or Patent Application  <input type="checkbox"/> Copy of Small Entity Statement  <input type="checkbox"/> Request for Refund  <input type="checkbox"/> After Allowance Communication to Group	<input type="checkbox"/> Appeal Communication to Board of Patent Appeals and Interferences  <input type="checkbox"/> Appeal Communication to Group ( <i>Appeal Notice, Brief, Reply Brief</i> )  <input type="checkbox"/> Status Letter  <input checked="" type="checkbox"/> Return Receipt Postcard  <input checked="" type="checkbox"/> Certificate of First Class Mailing under 37 C.F.R. 1.8  <input checked="" type="checkbox"/> Additional Enclosure(s) ( <i>please identify below</i> ) <input checked="" type="checkbox"/> Request for Corrected Filing Receipt  <input checked="" type="checkbox"/> Copy of Corrected Filing Receipt
<div> <input type="checkbox"/> After Final  <input type="checkbox"/> Affidavits/declaration(s)  <input type="checkbox"/> Letter to Official Draftsperson including Drawings [Total Sheets ____]         </div> <input type="checkbox"/> Extension of Time Request  <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Form PTO-1449 <input type="checkbox"/> Copies of IDS Citations  <input type="checkbox"/> Certified Copy of Priority Document(s)  <input checked="" type="checkbox"/> Response to Notification of Missing Requirements		

### CORRESPONDENCE ADDRESS

Direct all correspondence to: Patent Administrator  
Testa, Hurwitz & Thibault, LLP  
High Street Tower  
125 High Street  
Boston, MA 02110  
Tel. No.: (617) 248-7000  
Fax No.: (617) 248-7100

### SIGNATURE BLOCK

Date: November 30, 1999  
Reg. No. 40,060  
Tel. No.: (617) 248-7604  
Fax No.: (617) 248-7100

# FEE TRANSMITTAL

Note: Effective October 1, 1997.  
Patent fees are subject to annual revision

Complete if known

Application Serial Number	09/390,928
Filing Date	September 7, 1999
First Named Inventor	Bloomfield et al.
Group Art Unit	2755
Examiner Name	Not yet assigned
Attorney Docket No.	CTX-019CP (1545/36)

## METHOD OF PAYMENT

1. ☒ Payment Enclosed:  
☒ Check ☐ Money Order ☐ Other
2. ☒ The Commissioner is hereby authorized to credit or charge any fee indicated below to Deposit Account No. 20-0531.  
☐ Required Fees (copy of this sheet enclosed).  
☒ Additional fee required under 37 CFR 1.16 and 1.17.  
☒ Overpayment Credit.

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity Fee (\$)	Small Entity Fee (\$)	Fee Description	Fee Paid
130	65	Surcharge - late filing fee or oath	130.00
50	25	Surcharge - late provisional filing fee or	
130	130	Non-English specification	
2,520	2,520	For filing a request for reexamination	
110	55	Extension for reply within first month	
380	190	Extension for reply within second month	
870	435	Extension for reply within third month	
1,360	680	Extension for reply within fourth month	
1,850	925	Extension for reply within fifth month	
300	150	Notice of Appeal	
300	150	Filing a brief in support of an appeal	
260	130	Request for oral hearing	
130	130	Petitions to the Commissioner	
50	50	Petitions related to provisional applications	
240	240	Submission of Information Disclosure Statement (37 CFR 1.97(c))	
130	130	Submission of Information Disclosure Statement (37 CFR 1.97(d))	
760	380	Filing a submission after final rejection (37 CFR 1.129(a))	
760	380	For each additional invention to be examined (37 CFR 1.129(b))	
		Other (Specify) Corrected Filing Receipt	25.00

## FEE CALCULATION

### 1. FILING FEE

#### Large Entity

Fee (\$)	Fee Description	Fee Paid
760	Utility filing fee	760.00
310	Design filing fee	
150	Provisional filing fee	

	Number Filed	Number Extra	Rate	Amount
Total Claims	19	- 20 = 0	x \$ 18.00 =	0.00
Independent Claims	3	- 3 = 0	x \$ 78.00 =	0

☐ Multiple Dependent Claim(s), if any \$260.00 =

TOTAL: 760.00

SMALL ENTITY DISCOUNT:

SUBTOTAL (1) (\$) 760.00

### 2. AMENDMENT CLAIM FEES

Claims Remaining After Amend.	Highest No. Previously Paid For	Present Extra	Rate	Fee Paid
Total	-	=	x \$ 18.00 =	
Indep.	-	=	x \$ 78.00 =	
<input type="checkbox"/> First Presentation of Multiple Dep. Claim			+ \$260.00 =	

TOTAL: (\$)

SMALL ENTITY DISCOUNT: (\$)

SUBTOTAL (2) (\$) 0

SUBTOTAL (3) (\$) 155.00

SUBTOTAL (1) 760.00

SUBTOTAL (2) 0

SUBTOTAL (3) 155.00

TOTAL (\$) 915.00

## CORRESPONDENCE ADDRESS

Direct all correspondence to:

Patent Administrator  
 Testa, Hurwitz & Thibault, LLP  
 High Street Tower  
 125 High Street  
 Boston, MA 02110  
 Tel. No.: (617) 248-7000  
 Fax No.: (617) 248-7100

MIRANDDG1545/36.895504-1

## SIGNATURE BLOCK

Date: November 30, 1999  
 Reg. No.: 40,060  
 Tel. No.: (617) 248-7604  
 Fax No.: (617) 248-7100

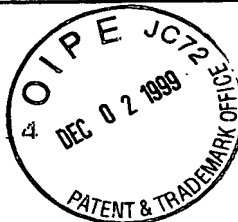
Respectfully Submitted,

John D. Lanza  
 Attorney for the Applicants  
 Testa, Hurwitz & Thibault, LLP  
 High Street Tower  
 125 High Street  
 Boston, MA 02110



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
Address: COMMISSIONER OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO./TITLE
09/390,928	09/07/99	DOMFIELD	M CTX-019CP (15)
021323		0242/10 4	
TESTA HURWITZ & THIBEAULT HIGH STREET TOWER 125 HIGH STREET BOSTON MA 02110			NOT ASSIGNED
			2755



DATE MAILED:

10/14/99

**NOTICE TO FILE MISSING PARTS OF APPLICATION**  
**Filing Date Granted**

An Application Number and Filing Date have been assigned to this application. The items indicated below, however, are missing. Applicant is given **TWO MONTHS FROM THE DATE OF THIS NOTICE** within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a). If any of items 1 or 3 through 5 are indicated as missing, the **SURCHARGE** set forth in 37 CFR 1.16(e) of ☐ \$65.00 for a small entity in compliance with 37 CFR 1.27, or ☒ \$130.00 for a non-small entity, must also be timely submitted in reply to this NOTICE to avoid abandonment.

If all required items on this form are filed within the period set above, the total amount owed by applicant as a ☐ small-entity (statement filed) ☒ non-small entity is \$ 250.

- ☒ 1. The statutory basic filing fee is:
- ☒ missing.
  - ☐ insufficient.
- Applicant must submit \$ 760 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).
- ☐ 2. The following additional claims fees are due:
- \$ \_\_\_\_\_ for \_\_\_\_\_ total claims over 20.
  - \$ \_\_\_\_\_ for \_\_\_\_\_ independent claims over 3.
  - \$ \_\_\_\_\_ for multiple dependent claim surcharge.
- Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.
- ☒ 3. The oath or declaration:
- ☒ is missing or unsigned.
  - ☐ does not cover the newly submitted items.
- An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date is required.
- ☐ 4. The signature(s) to the oath or declaration is/are by a person other than inventor or person qualified under 37 CFR 1.42, 1.43 or 1.47.
- A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- ☐ 5. The signature of the following joint inventor(s) is missing from the oath or declaration:

An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.

- ☐ 6. A \$50.00 processing fee is required since your check was returned without payment (37 CFR 1.21(m)).
- ☐ 7. Your filing receipt was mailed in error because your check was returned without payment.
- ☐ 8. The application was filed in a language other than English.
- Applicant must file a verified English translation of the application, the \$130.00 set forth in 37 CFR 1.17(k), unless previously submitted, and a statement that the translation is accurate (37 CFR 1.52(d)).
- ☐ 9. OTHER:

Direct the reply and any questions about this notice to "Attention: Box Missing Parts."

**A copy of this notice MUST be returned with the reply.**

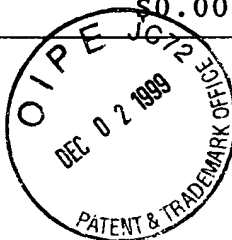
Customer Service Center  
Initial Patent Examination Division (703) 308-1202

00000077 09390928  
12/03/1999 HBERHE  
01 FC:101  
02 FC:105  
760.00 OP  
130.00 OP



APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTORNEY DOCKET NO.	DRWGS	TOT CL	IND CL
09/390,928	09/07/99	2755	\$0.00	CTX-019CP(15	11	19	3

TESTA HURWITZ & THIBEAULT  
HIGH STREET TOWER  
125 HIGH STREET  
BOSTON MA 02110

**Applicant(s)**

MARC A. BLOOMFIELD, ~~LIGHTHOUSE POINT, FL~~; ANTHONY UNGERMAN, BOCA RATON, FL; ROBERT CIRALDO, FORT LAUDERDALE, FL.; Martin Duursma, West Pennant Hills, Australia; Anatoliy Panasyuk, West Ryde, Australia; Bradley Jay Pederson, Parkland, FL; Tom C. Davis, III, Coral Springs, FL.

THIS APPLN IS A CIP OF 09/252,391 02/18/99  
PROVISIONAL APPLICATION NO. 60/114,099 12/29/98

# APPARATUS AND METHOD FOR DETERMINING A PROGRAM NEIGHBORHOOD FOR A CLIENT NODE IN A CLIENT-SERVER NETWORK USING MARKUP LANGUAGE TECHNIQUES

PRELIMINARY CLASS: 709

RECEIVED  
OCT 18 1999  
PATENT DEPARTMENT  
TESTA, HURWITZ & THREIN

TEAM: 04 DATE: 10/07/99

[illegible]

**(See reverse for new important information)**



**LICENSE FOR FOREIGN FILING UNDER**  
**Title 35, United States Code, Section 184**  
**Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "FOREIGN FILING LICENSE GRANTED" followed by a date appears on the reverse side of this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.11. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related application(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations, especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR Parts 121-128) ); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j) ); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "FOREIGN FILING LICENSE GRANTED" DOES NOT appear on the reverse side of this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

**PLEASE NOTE ---- The Following Information about the Filing Receipt:**

The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.

The words "new," "improved," "improvement," "improvements in or relating to" are not included as the first words in the title of an application because a patent application is, by nature, a new idea or improvement.

The title may be truncated if it consists of more than 4 lines of 70 characters each (letters and spaces combined).

The inventor information may be truncated if the family name consists of more than 25 characters (letters and spaces combined) and if the given name consists of more than 25 characters (letters and spaces combined). The inventor's residence allows for up to 40 characters (letters and spaces combined).

The docket number allows a maximum of 12 characters.

If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."

Customer Address may have been modified to conform to U.S. Postal rules.

Please direct correction, including a copy of your Filing Receipt, to:

Assistant Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, DC 20231